

**CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. §1.8**

I hereby certify that this correspondence and attached documents in response to a Notice to File Missing Parts of Application, pursuant to 37 C.F.R. §1.8, are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Mail Stop MISSING PARTS, P.O. Box 1450, Alexandria, VA 22313-1450, on:

Date: January 5, 2004 By Julie A. Eslick  
Signature of person depositing First-Class Mail

**IN THE UNITED STATES PATENT AND PATENT  
TRADEMARK OFFICE**

*TRANSMITTAL OF MISSING PARTS FOR  
PATENT APPLICATION PURSUANT TO  
37 C.F.R. §1.53(d)*

Applicant(s):	Osamu SHIBATA, et al.	Docket No.:	29288.0300
Serial No.:	09/828,559	Filed:	April 6, 2001
TITLE:	COPYRIGHT PROTECTION SYSTEM, ENCRYPTION DEVICE, DECRYPTION DEVICE, AND RECORDING MEDIUM	Group Art Unit:	2131
		Confirmation No.:	6490

Assistant Commissioner for Patents  
Mail Stop **MISSING PARTS**  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In response to the Notice to File Missing Parts of Application mailed on December 17, 2003, in the above-identified application, enclosed herewith are the missing parts needed to complete filing of the subject patent application.

**1. Small Entity Status**

- ☐ Small entity status under 37 C.F.R. §§1.9 and 1.27 has been claimed.
- ☐ Verified statements to establish small entity status under 37 C.F.R. §§1.9 and 1.27 is enclosed.

**2. Fee Calculation**

Basic Fee (\$710) + surcharge (\$130)						=	\$ 840.00
Total Claims	47	minus	20	=	27	x	\$ 18.00 = 486.00
Independent Claims	4	minus	3	=	1	x	\$ 80.00 = 80.00
Multiple dependent claim fee, if applicable							\$270.00 + 0.00
Fee calculation, request for extension of time pursuant to 37 C.F.R. §1.136(a)							

<input type="checkbox"/> Missing parts filed within <b>first</b> month after due date – add	\$ 110.00	+	N/A
<input type="checkbox"/> Missing parts filed within <b>second</b> month after due date – add	\$ 390.00	+	N/A
<input type="checkbox"/> Missing parts filed within <b>third</b> month after due date – add	\$ 890.00	+	N/A
<input type="checkbox"/> Missing parts filed within <b>fourth</b> month after due date – add	\$1390.00	+	N/A

**Subtotal:** 1406.00

If one of the “small entity” boxes above is checked, enter half (1/2) of the Subtotal and subtract. - .00

Add: Fee (\$40.00) for recording assignment and other fee(s): 40.00

**Less Snell & Wilmer’s Check No. 501019** 1,276.00  
**submitted with application**

**TOTAL FEES ENCLOSED:** 170.00

**3. Enclosures (check as applicable)**

☒ Notice of Missing Parts (copy)  
☒ Executed Combined Declaration and Power of Attorney  
☐ Power of Attorney  
☐ Verified Statement(s) of Small Entity Status under 37 C.F.R. §§1.9(c), 1.9(d), and 1.27  
☒ Check for **remaining fees (Snell & Wilmer Check No. 295417)**  
☒ Assignment and required Recordation Form Cover Sheet  
☒ Information Disclosure Statement pursuant to 37 C.F.R. §§1.97-1.99 (with PTO Form 1449 and copies of citations)  
☒ Other: Return Postcard

**Extra copies of this letter:**

☒ for charge to deposit account (deficiency only)  
☒ for assignment

**4. Manner of Payment**

[ ] Please charge Deposit Account No. 19-2814 in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is attached.

[X] Check in the amount of \$170.00 is attached (Snell & Wilmer Check No. 295417).

**This statement does NOT authorize charge of the issue fee.** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any deficiency in the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under 37 C.F.R. §§1.16-1.18 (deficiency only) now or hereafter relative to this Application and the resulting Official document under 37 C.F.R. §1.20, or credit any overpayment to Account No. 19-2814 for which purpose a duplicate copy of this sheet is attached.

**5. Assignment**

[X] An Assignment of this application is enclosed. Please record the Assignment and return the recorded Assignment to the undersigned attorney.

The Patent and Trademark Office is respectfully requested to send a corrected filing receipt for this application to the undersigned attorney and forward the application for examination.

Respectfully submitted,

By Michael K. Kelly  
Michael K. Kelly  
Reg. No. 32,848

**SNELL & WILMER L.L.P.**  
One Arizona Center  
400 East Van Buren  
Phoenix, Arizona 85004-2202  
(602) 382-6291



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/828,559	04/06/2001	Osamu Shibata	29288.0300

20322  
 SNELL & WILMER  
 ONE ARIZONA CENTER  
 400 EAST VAN BUREN  
 PHOENIX, AZ 850040001

CONFIRMATION NO. 6490

## FORMALITIES LETTER



\*OC000000006102955\*

Date Mailed: 12/17/2003

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted***Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is **\$130** for a Large Entity

Replies should be mailed to: Mail Stop Missing Parts  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

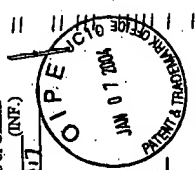
N. Hagem  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

THE U.S. PATENT AND TRADEMARK OFFICE OFFICIAL MAIL ROOM STAMP AFFIXED HERETO ACKNOWLEDGES RECEIPT OF THE ITEMS CHECKED BELOW:

Serial No. 01428559  
Applicant OSAMU SHIBATA, et al.  
Filing Date April 6, 2001  
Title Method for Copyright Protection System, Encryption Device, Decryption Device, + Recording Medium  
[ ] Patent Application  
[ ] Drawing Sheets  
[ ] Check \$ 170.00 No. 225417 (NF)  
[ ] Power of Attorney  
[ ] Extension of Time (duplicate)  
[ ] Preliminary Amendment  
[ ] Amendment  
[ ] Amendment after FINAL Rejection  
[ ] Issue Fee (Base and/or Balance)  
[ ] Response to Missive Parts  
[ ] Assignment, Cover Sheet and Fee  
[ ] Declaration BA  
[ ] Information Disclosure Statement & Form 1449



Marked items placed in First Class Mail on JANUARY 5, 2004  
Marked items filed via Express Mail No. NOTED FOR RECEIPT on NOTED FOR RECEIPT  
S&W Docket No.: 29288-0300 BY: H. Kelly JEE

THE U.S. PATENT AND TRADEMARK OFFICE OFFICIAL MAIL ROOM STAMP AFFIXED HERETO ACKNOWLEDGES RECEIPT OF THE ITEMS CHECKED BELOW:

Serial No. 01428559  
Applicant OSAMU SHIBATA, et al.  
Filing Date April 6, 2001  
Title Method for Copyright Protection System, Encryption Device, Decryption Device, + Recording Medium  
[ ] Patent Application  
[ ] Drawing Sheets  
[ ] Check \$ 170.00 No. 225417 (NF)  
[ ] Power of Attorney  
[ ] Extension of Time (duplicate)  
[ ] Preliminary Amendment  
[ ] Amendment  
[ ] Amendment after FINAL Rejection  
[ ] Issue Fee (Base and/or Balance)  
[ ] Response to Missive Parts  
[ ] Assignment, Cover Sheet and Fee  
[ ] Declaration BA  
[ ] Information Disclosure Statement & Form 1449



Marked items placed in First Class Mail on JANUARY 5, 2004  
Marked items filed via Express Mail No. NOTED FOR RECEIPT on NOTED FOR RECEIPT  
S&W Docket No.: 29288-0300 BY: H. Kelly JEE

NOTED ON DOCKET